

Applicant : Pedram Abrari et al.  
Serial No. : 09/994,477  
Filed : November 26, 2001  
Page : 16 of 16

Attorney's Docket No.: 11973-004001

REMARKS


As of the action mailed on March 25, 2005, claims 1-53 were pending. Of these, claims 2-5, 9-17, 23-24, 28-30, 40-44, 47, and 48 were objected to as depending from rejected base claims, but were found by the examiner to have patentable subject matter and would be allowed if rewritten in independent form including all the limitations of their respective base claims. The remaining claims were rejected.

All of the claims have been amended or cancelled so that all the remaining claims now include subject indicated by the examiner to be allowable.

Enclosed is a \$500.00 check for excess claim fees. Please apply any other charges or credits to deposit account 06-1050.

Respectfully submitted,

Date: 27 June 05

  
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Attachments following last page of this Amendment:  
Replacement Sheets (13 sheets)  
Annotated Sheets (13 sheets)

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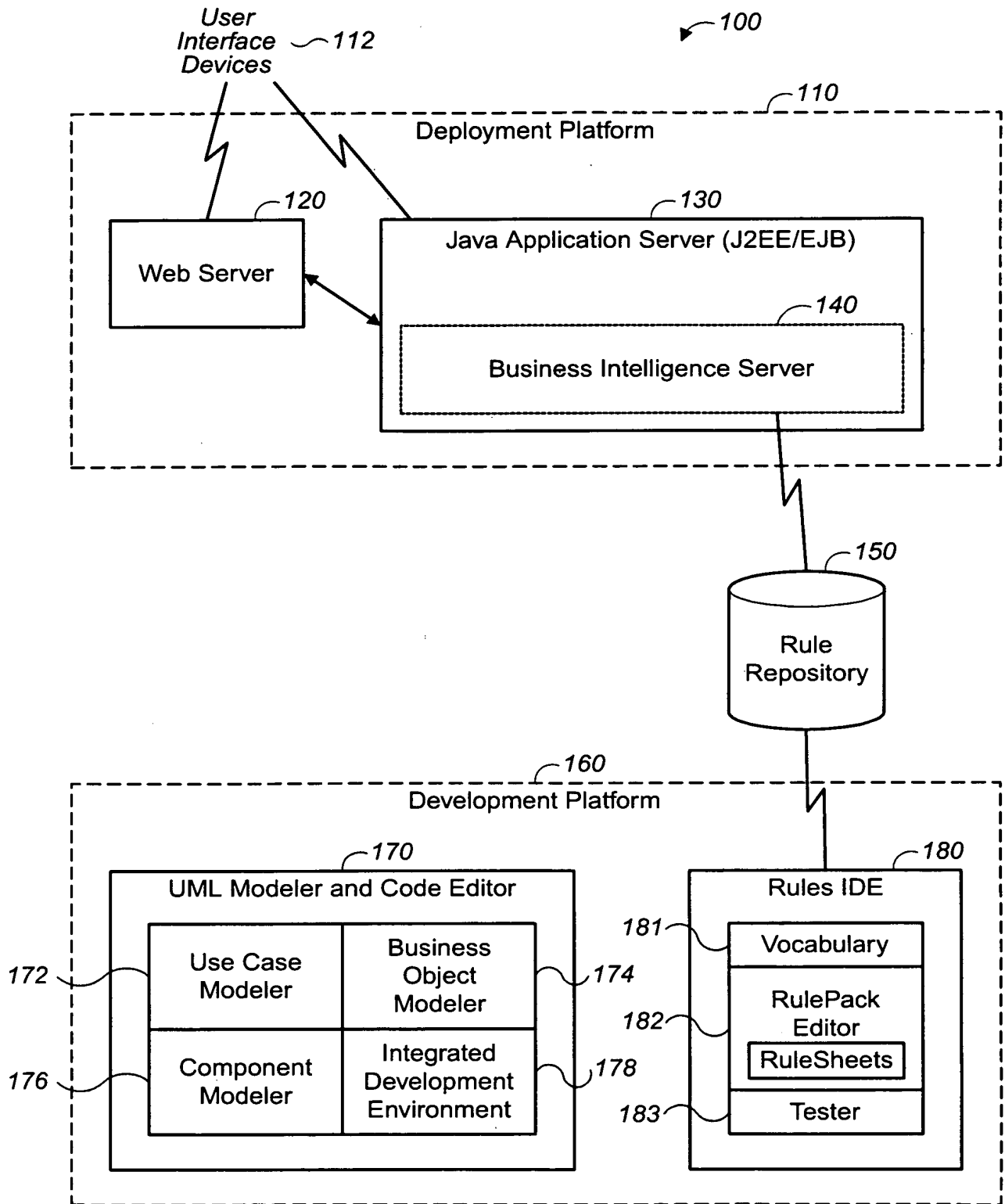
Attorney's Docket No.: 11973-004001

Amendments to the Drawings:

The attached replacement sheets of drawings includes changes to Figures 4-17 and replaces the original sheets including Figures 1-18.

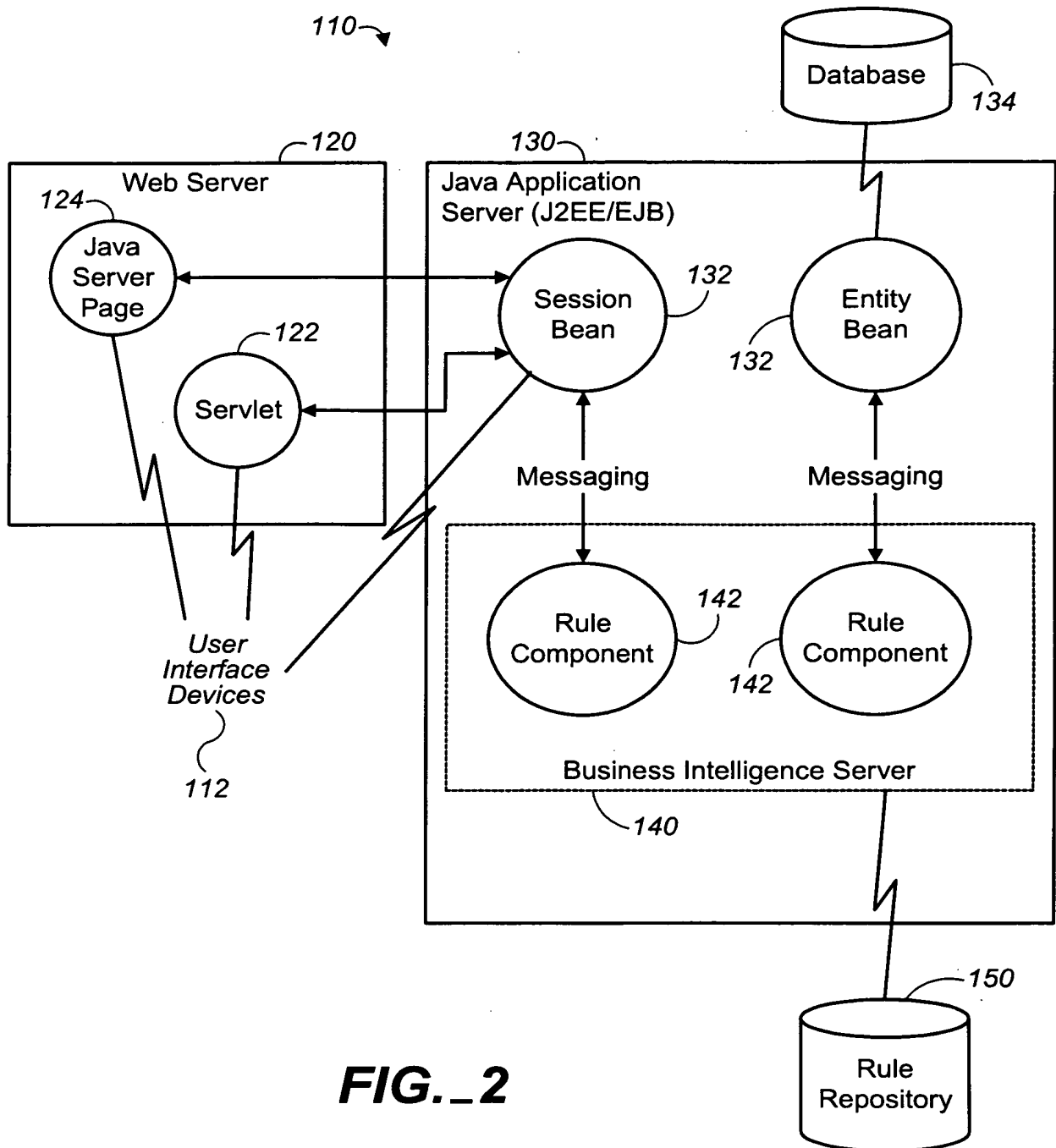
In Figures 4-17, the drawings have been formalized and are being submitted in compliance with 37 CFR 1.121(d).

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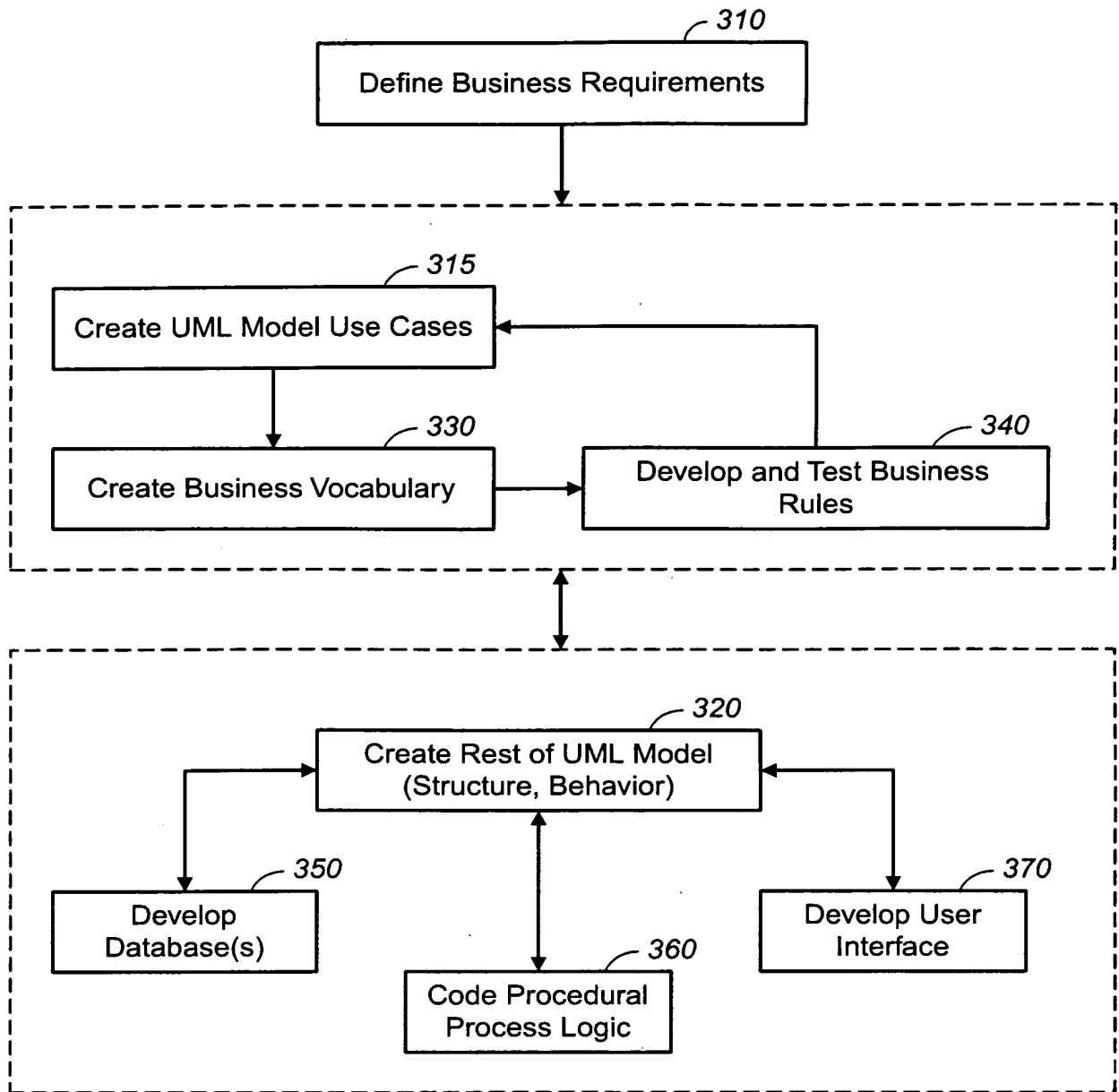
**FIG.\_1**

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**FIG. 2**

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**FIG. 3**

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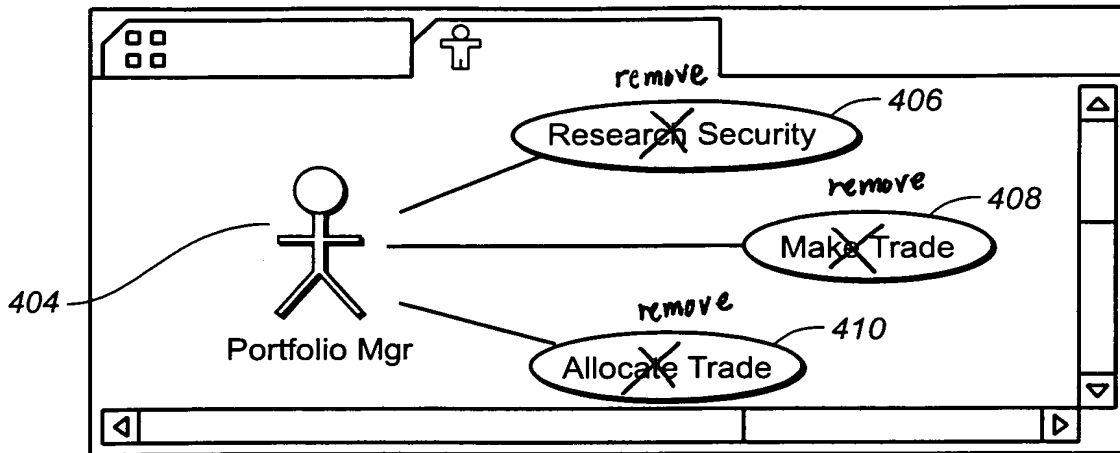


FIG. 4

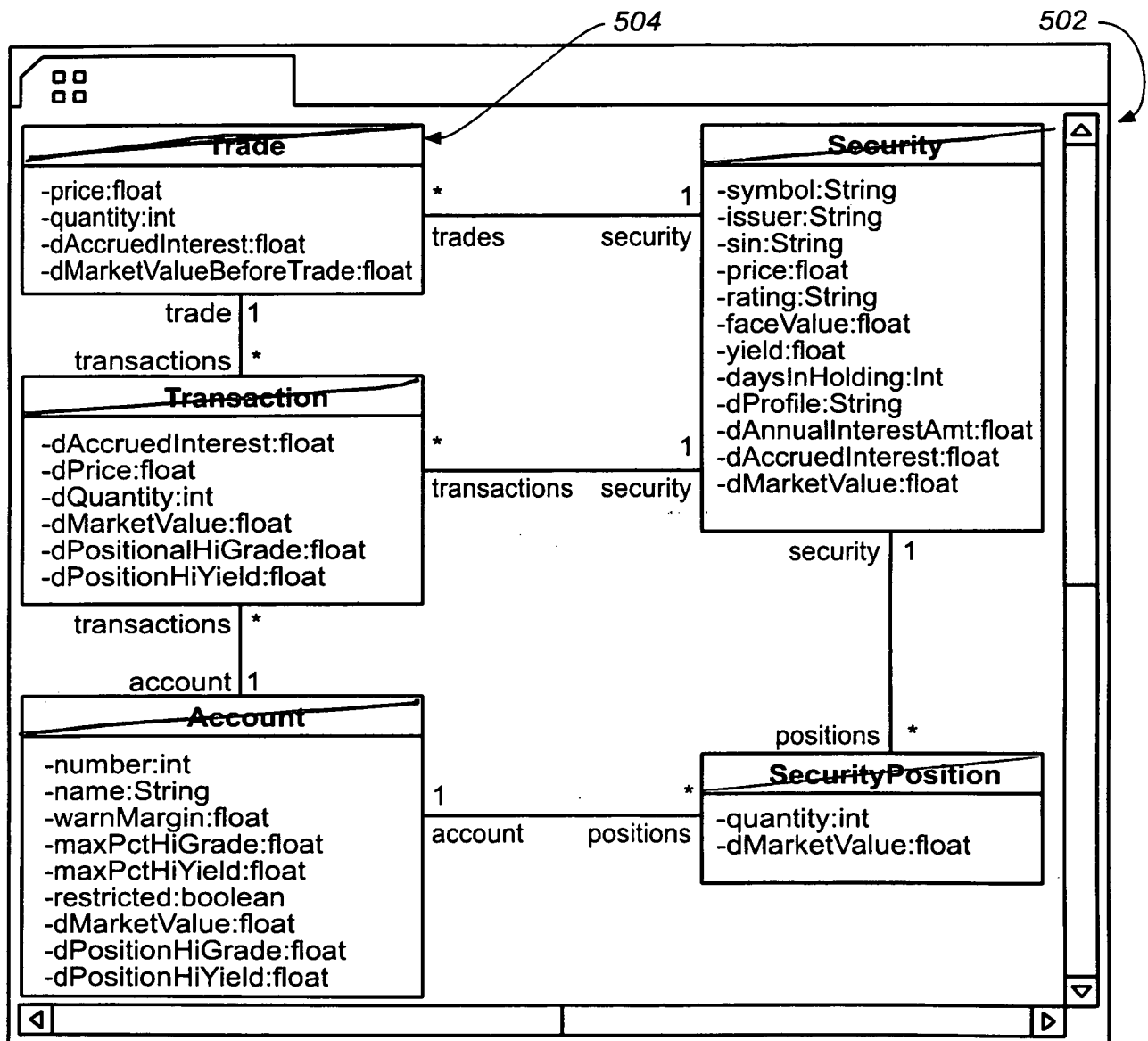


FIG. 5

☐ Vocabulary

☐ FIM

☐ Account

☐ Security

☐ SecurityPosition

☐ Trade

☐ price

☐ quantity

☐ dAccruedInterest

☐ dMarketValueBeforeTra

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704

☐ Vocabulary ☐ ☐

☒ Account ~ 706

☐ number ~ 708

☐ name

☐ warnMargin

☐ maxPctHiGrade

☐ maxPctHiYield

☐ restricted

☐ dMarketValue

☐ dPositionHiGrade

☐ dPositionHiYield

☐ dNewMarketValue

☐ dNewPositionHiGrade

☐ dNewPositionHiYield

☐ dPctHiGrade

☐ dPctHiYield

☐ positions

☐ quantity ~ 710

☐ dMarketValue

☐ security ~ 716

☐ symbol

☐ issuer

☐ sin

☐ price

☐ Security

☐ SecurityPosition ~ 718

Shading removed

Shortcuts

Term	Alias
1 Account	&anchor
2 positions	&position
3 &position.security	&security

Preconditions

1	
2	

Rules (non-conditional)

1	dMarketValue = dMarketValue + &position.dMarketValue	
2		

Rules

Conditions	Values
1 &security.dProfile	{ 'HI-GRD', 'HI-YLD' }
2	

Actions	Overrides
1 dPositionHiGrade = dPositionHiGrade + &position.dMarketValue	
2 dPositionHiYield = dPositionHiYield + &position.dMarketValue	

Rule Statements

N.1	The market value of an account is the sum of the market values of all the security positions held by the acc...
A	The total market value for all of the {name} account's High Grade securities is computed by summing the...
B	The total market value for all of the {name} account's High Yield securities is computed by summing the...

ED\_SecurityPosition

ED\_Account

ED\_SecurityProfile

ED\_Security

FIG..7

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Rules									
Conditions		Values							
1	rating	{ 'A', 'BBB', 'BB' }							
2	yield	{ >= 7, < 7 }							
3									
Actions		Values							
1	dProfile	{ 'HI-GRD', 'HI-YLD' }							
		Overrides							
Rule Statements									
A A security with a rating equal to A is considered HIGH GRADE.									
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.									
ED_SecurityPosition		ED_Account		ED_SecurityProfile		ED_Security			

Rules									
Conditions		Values							
1	rating	{ 'A', 'BBB', 'BB' }							
2	yield	{ >= 7, < 7 }							
3									
Actions		Values							
1	dProfile	{ 'HI-GRD', 'HI-YLD' }							
		Overrides							
Rule Statements									
A A security with a rating equal to A is considered HIGH GRADE.									
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.									
ED_SecurityPosition		ED_Account		ED_SecurityProfile		ED_Security			

FIG.\_8

FIG.\_9

Rules									
Conditions		Values							
1	rating	{ 'A', 'BBB', 'BB' }							
2	yield	{ >= 7, < 7 }							
3									
Actions		Values							
1	dProfile	{ 'HI-GRD', 'HI-YLD' }							
		Overrides							
Rule Statements									
A A security with a rating equal to A is considered HIGH GRADE.									
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.									
ED_SecurityPosition		ED_Account		ED_SecurityProfile		ED_Security			

Rules									
Conditions		Values							
1	rating	{ 'A', 'BBB', 'BB' }							
2	yield	{ >= 7, < 7 }							
3									
Actions		Values							
1	dProfile	{ 'HI-GRD', 'HI-YLD' }							
		Overrides							
Rule Statements									
A A security with a rating equal to A is considered HIGH GRADE.									
B A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.									
ED_SecurityPosition		ED_Account		ED_SecurityProfile		ED_Security			

**FIG. 10**

**FIG. 11**

Rules										
	Conditions	Values	A	B	C	D	E	F	G	Δ
1	rating	{ 'A', 'BBB', 'BB' }	'A'	-	'BBB'	'BB'				
2	yield	{ >= 7, < 7 }	-	>= 7	< 7	< 7				▽
3			Δ							▷
	Actions	Values	A	B	C	D	E	F	G	
1	dProfile	{ 'HI-GRD', 'HI-YLD', 'DOG' }	'HI-GRD'	'HI-YLD'	'DOG'	'DOG'				◀▶
		Overrides	2							
Rule Statements										
A	A security with a rating equal to A is considered HIGH GRADE.									
B	A security with a yield greater than or equal to 7 percent is considered HIGH YIELD.									
C	A security with a rating lower than A and a yield lower than 7 is a DOG.									
ED_SecurityPosition			ED_Account			ED_SecurityProfile			ED_Security	

**FIG. 12**

**FIG. 12**

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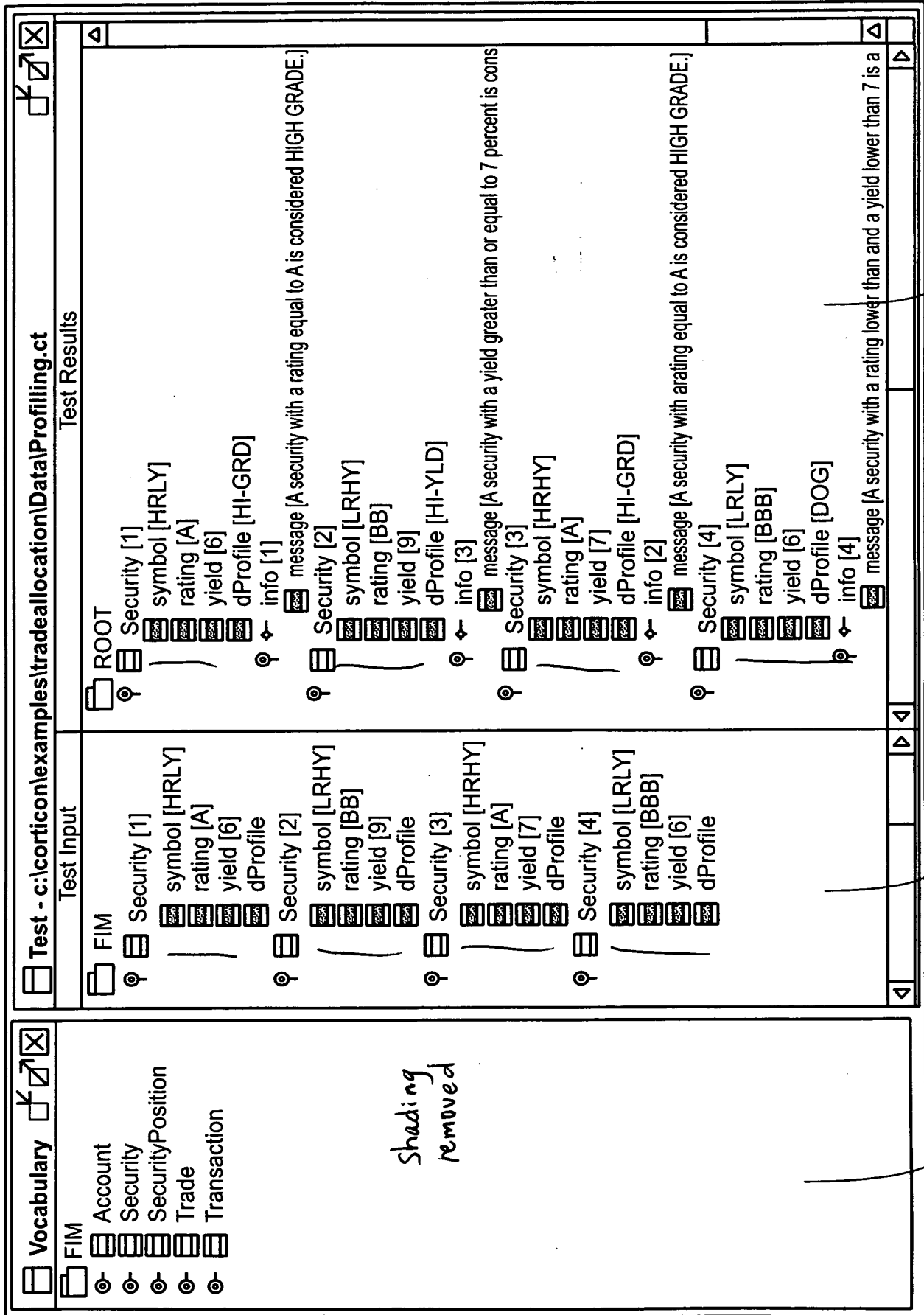


FIG. 13

1308

1306

1304

FIG. 14

Rules						
Preconditions						
1						
2						
3						
Conditions		Value Set	N/C	A	B	C
1	[Condition1]	{val1, val2}		val1		
2	[Condition2]	{val3, val4}		val3		
3						
Actions		Value Set		A	B	C
1	[Action1]		X			
2	[Action2]			X		
3						
Overrides						

1402

Shading removed

1406

1408

FIG. 15

Rules						
Preconditions						
1						
2						
	<<	Conditions		>>	<<	>>
					Actions	
Value	[Condition1]	[Condition2]		[Action1]	[Action2]	
Set->	{val1, val2}	{val3, val4}				Overrides
N/C				X		
A	val1	val3			X	
B						
C						
D						
E						

1502

1504

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Rules										
Preconditions										
1										
2										
Conditions										
1										F
2										
3										
Actions										
1										F
2										
3										

FIG.\_16

Overrides										
Dominant Rule										
1	A2									
2	C1									

Expression										
Preconditions										
1										
2										
3										
Conditions										
1	[Condition1]									G
2	[Condition2]									
3	[Condition3]									
exprName	boolean									

FIG.\_17

**FIG. 18**

**FIG. 18**